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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Scott Fergusson

Serial No.: 09/917,120

Examiner Unknown

Filed: July 27, 2001

Group Art Unit 2161

For: METHODS AND SYSTEMS FOR ASSISTING FINANCIAL SERVICES FIRMS
AND THEIR REPRESENTATIVES

Docket No.: 1137.1101101

RECEIVED

DEC 28 2001

Technology Center 2100

TRANSMITTAL SHEET

Assistant Commissioner for Patents

Washington, D.C. 20231

Sir:

CERTIFICATE UNDER 37 C.F.R. 1.8: I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231, on this 26 day of October, 2001.

By _____

Brian N. Tufte

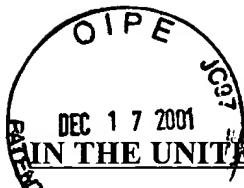
We are transmitting herewith the attached:

 Amendment No additional fee required The fee has been calculated as shown:

CLAIMS AS AMENDED

	(3) REMAINING CLAIMS	(4) HIGHEST PAID	(5) EXTRA	SMALL ENTITY		OTHER	
TOTAL CLAIMS	-	=		x9=	\$	X18=	\$
INDEPEND- ENT CLAIMS	-	=		X40=	\$	X80=	\$
() FIRST MULTIPLE DEPENDENT CLAIM			+130=	\$	+260=		
TOTAL			\$	\$			

Brian N. Tufte
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Facsimile: (612) 359-9349



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Assistant Commissioner
for Patents
Washington, D.C. 20231

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS
BEING DEPOSITED WITH THE UNITED STATES POSTAL
SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE
ADDRESSED TO: ASSISTANT COMMISSIONER FOR
PATENTS, WASHINGTON, D.C. 20231.

21st DAY OF October, 2001.

Brian N. Tufte

Dear Sirs:

INFORMATION DISCLOSURE STATEMENT

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

Respectfully submitted,

Scott Fergusson

By his attorney,

Brian N. Tufte, Reg. No. 38,638

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Dated: October 26, 2001